

**IN THE UNITED STATES DISTRICT COURT  
FOR THE NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION**

SECURITIES AND EXCHANGE COMMISSION	)	
	)	
Plaintiff,	)	
	)	
v.	)	
	)	
VLADIMIR OKHOTNIKOV,	)	
JANE DOE a/k/a LOLA FERRARI,	)	
MIKAIL SERGEEV,	)	
SERGEY MASLAKOV,	)	Case No. 22 C 3978
SAMUEL D. ELLIS,	)	
MARK F. HAMLIN,	)	Judge Jeremy C. Daniel
SARAH L. THEISSEN,	)	
CARLOS L. MARTINEZ,	)	
RONALD R. DEERING,	)	
CHERI BETH BOWEN, and	)	
ALISHA R. SHEPPERD,	)	
	)	
Defendants.	)	
	)	

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**FIFTH JOINT STATUS REPORT**

In accordance with the Court's Minute Entry of April 9, 2024 (Dkt# 147), the parties respectfully submit this Joint Status Report.

**Current Status**

1. Pursuant to the prior Minute Entry entered by Judge Alonso on March 28, 2023 (Dkt# 142), all proceedings in this matter, including discovery, remain stayed in light of the related criminal action styled as *U.S. v. Okhotnikov et al.*, Case No. 23 CR 57 (D. Or. 2023). The criminal action is currently pending.

**Status Prior to the Stay as to Each Defendant**

2. *Vladimir Okhotnikov*. Okhotnikov moved to dismiss the Complaint (Dkt# 72), the SEC filed an opposition (Dkt# 84), and Okhotnikov filed a reply (Dkt# 89). That motion remains pending in light of the stay. As for discovery, the SEC and Okhotnikov are subject to the Full

Track as noted in the prior Scheduling Order (Dkt# 93) and Magistrate's Order (Dkt# 97).<sup>1</sup> Discovery between the SEC and Okhotnikov had not yet commenced, however, by the time the stay was entered.

3. *Lola Ferrari/Mikhail Sergeev/Sergey Maslakov*. Partial default judgments were entered on February 7, 2023 and March 21, 2023 (Dkt# 111, 133). As set forth therein, the only remaining issue for determination as to these defendants is the amount of disgorgement, prejudgment interest, and civil penalties to be assessed.

4. *Samuel D. Ellis*. Final judgment was entered as to Ellis on August 9, 2022 (Dkt# 16), and the case against him therefore is resolved in full.

5. *Mark F. Hamlin, Sarah L. Theissen, Carlos L. Martinez, Ronald R. Deering, Cheri Beth Bowen, and Alisha R. Shepperd*. Partial judgments were entered as to each of these defendants (Dkt# 15, 25, 33, 71, 77, 83), leaving only the amount of disgorgement, prejudgment interest, and civil penalties to be assessed in the course of further proceedings in this case. As for discovery, the SEC and these defendants are subject to the Bifurcated Track as noted in the prior Scheduling Order (Dkt# 93) and Magistrate's Orders (Dkt# 98, 137). Before the stay, the SEC and these defendants exchanged initial disclosures, and the SEC made an initial production of documents. The parties also served their first sets of interrogatories and requests for production, but the parties' respective responses thereto were not due to be served, nor had any additional discovery taken place, by the time the stay was entered.

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<sup>1</sup> As set forth by the parties in their Joint Fed. R. Civ. P. 26(f) and Initial Status Report (Dkt# 78) and as adopted in the prior Scheduling Order (Dkt# 93), discovery in this case would proceed under two separate tracks: the Full Track, as to Okhotnikov, and the Bifurcated Track, as to the other defendants (as noted in Paragraph 5 above).

DATED: April 16, 2024

Respectfully submitted,

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**CERTIFICATE OF SERVICE**

I certify that on April 16, 2024, I caused to be served the foregoing FIFTH JOINT STATUS REPORT on the parties at the addresses and by the means set forth on the attached Service List.

/s/ Patrick R. Costello

Patrick R. Costello

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